

QUESTIONS AND ANSWERS

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I. FREQUENTLY ASKED QUESTIONS:

Q1. IF I HAVE QUESTIONS ABOUT THIS FUNDING ANNOUNCEMENT, WHO DO I CONTACT?

ANSWER: Please see the FOA guidance on submitting FOA content questions and response publication. Applicants may submit questions regarding this ARPA-E's Funding Opportunity Announcement (FOA) to ARPA-E-CO@hq.doe.gov. All emails must include the FOA name and number in the subject line. The cover page and Executive Summary of the Funding Opportunity Announcement state the deadlines for submitting questions to ARPA-E-CO@hq.doe.gov.

Q2. HOW WILL I RECEIVE A RESPONSE TO QUESTIONS SUBMITTED TO ARPA-E-CO@HQ.DOE.GOV ABOUT THIS FOA?

ANSWER: Responses are posted in the "Frequently Asked Questions" section of ARPA-E's website. There are general FAQs and a FAQ page for each FOA.

ARPA-E will post responses on a weekly basis to any questions that are received.

ARPA-E will cease to accept questions approximately 5 business days in advance of the final submission deadline for this FOA. Responses to questions received before the cutoff will be posted approximately one business day in advance of the submission deadline. ARPA-E may re-phrase questions or consolidate similar questions for administrative purposes.

Q3. WILL ARPA-E POST A RESPONSE TO EVERY QUESTION SUBMITTED TO ARPA-E-CO@HQ.DOE.GOV?

ANSWER: No. ARPA-E will only post responses to questions that have not already been addressed by a published FAQ. Also, ARPA-E may consolidate similar questions for administrative purposes.

Q4. IF I HAVE QUESTIONS ABOUT ARPA-E EXCHANGE, WHO DO I CONTACT?

ANSWER: Applicants may submit questions regarding ARPA-E's online application portal, ARPA-E eXCHANGE, to ExchangeHelp@hq.doe.gov. All emails must include the name and number of the Funding Opportunity Announcement in the subject line.

Q5. CAN A PERSON BE PI ON ONE PROPOSAL AND A CO-PI ON A SECOND SEPARATE PROPOSAL?

ANSWER: Yes, but the applications must be scientifically distinct from one another.

Q6. MAY APPLICANTS SUBMIT MORE THAN ONE CONCEPT PAPER TO THIS FUNDING OPPORTUNITY?

ANSWER: Yes, but each Concept Paper submission must be scientifically distinct.

Q7. ARE APPLICANTS REQUIRED TO CONTACT A PROGRAM DIRECTOR BEFORE APPLYING TO THIS FUNDING OPPORTUNITY?

ANSWER: No.

Q8. WHAT QUALIFIES AS A LARGE BUSINESS?

ANSWER: Large businesses are generally defined as domestically incorporated entities that do not meet the criteria established by the U.S. Small Business Administration's "Table of Small

Business Size Standards Matched to North American Industry Classification System Codes” (<http://www.sba.gov/content/small-business-size-standards>).

II. Questions for week ending: OCTOBER 11, 2013

Q9. SINCE THERE IS NO SUBMISSION DEADLINE, WILL THE CONCEPT PAPERS BE REVIEWED ON A ROLLING BASIS UNTIL THE FOA CLOSES?

ANSWER: Yes. ARPA-E will review concept papers throughout the year on a rolling basis.

III. Questions for week ending: OCTOBER 18, 2013

Q10. COULD SOMEONE PLEASE CONTACT ME TO DISCUSS OUR CONCEPT PAPER?

ANSWER: Prior to submission of a Concept Paper, potential Applicants for this FOA may contact the Program Director, via e-mail, that they believe is best qualified to discuss their specific research concept. Once a Concept Paper is submitted to the FOA, any communications regarding that submission must be through the Contracting Officer as specified in Section VII.A (Communications with ARPA-E) of the FOA. Potential Applicants may access Program Director biographies and e-mail contact information at <http://arpa-e.energy.gov/?q=about/arpa-e-team/program-directors>.

IV. Questions for week ending: NOVEMBER 1, 2013

Q11. FOR THE OPEN IDEAS SOLICITATION, I WOULD LIKE TO REGISTER FOR AS AN INDIVIDUAL AT THE ARPA-E EXCHANGE IN APPLICANT REGISTRATION. WHAT SHOULD I WRITE IN THE ORGANIZATION FIELD? IT IS A "REQUIRED FIELD".

ANSWER: To complete the account registration form in the ARPA-E Exchange system you must select an organization type from the drop down menu in the “organization type” field. Applicants must scroll down in the drop down menu to view all available organization types to see and select the “individual” option.

Q12. WHAT ARE THE RULES FOR A PROJECT SUBMITTED BY AN INDIVIDUAL FOR "COST SHARE"?

ANSWER: Although individuals may apply to the OPEN IDEAS FOA, ARPA-E will not award grants to individuals. In general, ARPA-E will provide funding to a business entity formed during award negotiations by the Applicant who applied in their individual capacity. In this example, the newly formed business entity would likely qualify as a small business, and therefore would not be required to provide cost share under the OPEN IDEAS FOA. Please see Section III.B (Cost Sharing) of the FOA for more information on cost share requirements for different types of entities.

Q13. ONCE WE ARE SELECTED FOR THE FUNDING, CAN WE ESTABLISH A SMALL CALIFORNIA CORPORATION AND BRING/TRANSFER THE ARPA-E FUNDING INTO NEW CORPORATION?

ANSWER: This may be possible, depending on the specific circumstances, and would be subject to both the express authorization of the original applicant and the approval of ARPA-E.

Q14. WE HAVE FILED FOR A PATENT ON THE NEW CONCEPT AND WOULD LIKE TO KNOW IF WE CAN MAKE PROVISION FOR A PATENT ATTORNEY EXPENSES IN THE BUDGET.

ANSWER: ARPA-E will not reimburse entities for patent expenses incurred prior to selection for award negotiations. Please review ARPA-E's Budget Justification Workbook Guidance regarding the allowability of patent costs available at <http://arpa-e.energy.gov/?q=arpa-e-site-page/pre-award-guidance>.

Q15. I WILL BE THE TEAM LEADER FOR THE PROPOSED PROJECT AND MY SON WHO IS A CHEMICAL ENGINEERING FRESHMAN AT A REPUTED UNIVERSITY IS A CO-INVENTOR ON THE PATENT APPLICATION. CAN HE WORK PART TIME ON THE PROJECT AND EARN TOWARDS HIS TUITION? IS ANY LETTER OF PERMISSION NEEDED FROM THE UNIVERSITY/DEPARTMENT?

ANSWER: ARPA-E will not provide pre-submission assessments or feedback regarding an Applicant's proposed staffing plans or teaming structures.

V. Questions for week ending: NOVEMBER 22, 2013

Q16. IF SELECTED FOR A GRANT UNDER OPEN IDEAS, WILL THE FEDERAL GOVERNMENT OWN ANY RIGHTS IN A RECIPIENT'S PRE-EXISTING INTELLECTUAL PROPERTY OR INTERNATIONAL PATENTS?

ANSWER: In general, the Government does not obtain rights in a grantee's pre-existing intellectual property. However, the Government would obtain rights in any inventions that are first conceived or first actually reduced to practice under an ARPA-E award. More information on intellectual property requirements for ARPA-E awards can be found on ARPA-E's website: <http://arpa-e.energy.gov/arpa-e-site-page/award-guidance>.

Q17. SHOULD THE FORMAT OF THE OPEN IDEAS CONCEPT PAPER BE IDENTICAL TO THE TEMPLATE (I.E. FILL IN THE QUESTIONS WITH ANSWERS) OR WRITTEN IN A STANDARD PROPOSAL AS LONG AS ALL THE INFORMATION REQUIRED IS PRESENT?

ANSWER: ARPA-E strongly prefers that Applicants use the Concept Paper template provided on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/>). Applicants that use other Concept Paper formats must include all information requested in ARPA-E's template Concept Paper and comply with Section IV.B (Content and Form of Concept Papers) of the FOA.

Q18. I SUBMITTED A CONCEPT PAPER. HOW LONG WILL IT TAKE FOR ARPA-E TO REVIEW MY CONCEPT PAPER AND MAKE A DECISION?

ANSWER: As stated in the FOA, ARPA-E will review concept papers throughout the year on a rolling basis. Under most circumstances, Applicants can expect to receive a notification regarding ARPA-E's determination to invite or not invite a Full Application submission within approximately 60 days after submission of a Concept Paper.

VI. Questions for week ending: NOVEMBER 29, 2013

Q19.A WE ARE A SMALL START UP BUSINESS WITH NO ASSETS FOR A LOAN, CAPITAL TO MAKE EQUIPMENT PURCHASES, OR TO PERFORM WORK PRIOR TO REIMBURSEMENT. DOES YOUR OFFICE HAVE A SOLUTION FOR THIS ISSUE?

ANSWER: During award negotiations, selectees may request a Budget Plan Payment (BPP) to obtain reimbursement on a prospective basis to obtain the necessary equipment or services and perform the necessary functions to achieve the technical milestones, as negotiated with ARPA-E. However, ARPA-E's BPPs are generally only intended to meet short-term expenses (expenses incurred over a prospective period of 90 days or less) and the ARPA-E CO must find the advance payment requirements found in 10 CFR Part 600 are met.

Q19.B IF I NEED TO FIND A SHORT TERM INVESTOR TO FRONT MONIES PRIOR TO REIMBURSEMENT, ARE THERE REQUIREMENTS ON HOW THIS MUST BE DONE AND LIMITS TO HOW MUCH INTEREST THE INVESTOR CAN CHARGE FOR THE MONIES LOANED?

ANSWER: ARPA-E is unable to provide potential OPEN IDEAS applicants financial or legal advice.

VII. Questions for week ending: DECEMBER 20, 2013

Q20. CAN THE PROPOSED GRANT START DATE BE EARLIER THAN THE CONCEPT PAPER SUBMISSION DEADLINE OF 9/26/14?

ANSWER: Yes. The OPEN IDEAS FOA has been issued by ARPA-E as a one-year pilot with a closing date Sept. 26, 2014. ARPA-E accepts Concept Papers and will award grants on a rolling basis under the OPEN IDEAS FOA for its entire duration. Concept Paper Applicants may be invited by ARPA-E to submit a Full Application, and that Full Application may be selected for an award. If selected, the applicant must then successfully complete award negotiations with ARPA-E. Please see the Preface and Section IV.A (Submission Process Overview) of the FOA for information on the submission process for the OPEN IDEAS FOA.

VIII. Questions for week ending: JANUARY 3, 2014

Q21.A DOES ARPA-E MAINTAIN A WEBSITE WHERE ANYONE CAN OBTAIN THE NUMBER OF GRANTS AWARDED TO DATE UNDER THE SUBJECT FOA, AS WELL AS A SYNOPSIS OF ANY WINNING GRANT APPLICATIONS?

ANSWER: Yes. ARPA-E maintains a searchable database on its website where members of the public can view summaries of projects related to each FOA. ARPA-E will update its website to include information on grants resulting from the OPEN IDEAS FOA on a rolling basis. To search for ARPA-E projects or obtain additional information on specific projects, please visit the following URL: <http://arpa-e.energy.gov/?q=projects/search-projects>.

Q21.B WILL GRANTS BE ANNOUNCED INDIVIDUALLY OR IN GROUPS?

ANSWER: Depending on the timing of ARPA-E's selection decisions, awards may be announced by ARPA-E either individually or in groups.

Q21.C DOES ARPA-E HAVE A PROJECTION ON WHEN THE FINAL GRANTS MIGHT BE AWARDED BEFORE THE EXPIRATION DATE OF SEPTEMBER 26, 2014?

ANSWER: September 26, 2014 marks the deadline to submit a Concept Paper, which is the first stage of the application process. Concept Paper Applicants may be invited by ARPA-E to submit a Full Application, which is the second stage of the application process, and that Full Application may be selected for award negotiations. If selected for award negotiations, the applicant must then successfully complete negotiations with ARPA-E before actual award is made. Thus, it is possible that ARPA-E will award grants after the Concept Paper submission deadline of September 26, 2014. Please see the Preface and Section IV.A (Submission Process Overview) of the FOA for information on the submission process for the OPEN IDEAS FOA.

Q22. WE HAVE A US PATENT WHICH WILL IMPROVE COMMERCIAL ELECTRIC POWER PLANT EFFICIENCY AND WOULD LIKE TO DISCUSS USING THIS TECHNOLOGY FOR ARPA FUNDING.

ANSWER: Please see the answer for Question 10.

IX. Questions for week ending: JANUARY 24, 2014

Q23. IN REVIEWING THE OPPORTUNITY, IT IS UNCLEAR AS TO WHICH ATTACHMENT 2 WILL BE USED FOR LARGE BUSINESSES. COULD THE ARPA-E PROVIDE GUIDANCE AS TO WHICH ATTACHMENT 2 WOULD BE USED IF *** WERE TO SUBMIT A PROPOSAL?**

ANSWER: ARPA-E is in the process of finalizing template Grant provisions for awards under this FOA. Once the template Grant provisions are finalized, including Attachment 2 for Large Businesses, they will be posted to the ARPA-E website.

Q24. CAN YOU TELL ME AS TO WHEN THE DARK PERIOD [I.E., QUIET PERIOD] STARTS AFTER WHICH WE CANNOT CONTACT THE PROGRAM DIRECTOR AND HOW WE CONTACT THE PROGRAM DIRECTOR BEFORE WE SPEND LOT OF EFFORTS ON THE CONCEPT PAPER?

ANSWER: Please see Section VII (Agency Contacts) and the answer to Question 10.

Q25. IN THE ANNOUNCEMENT, SECTION III.A.3, IT IS WRITTEN ABOUT FOREIGN ENTITIES. CAN A FOREIGN UNIVERSITY APPLY FOR A PROJECT AND ALSO PERFORM THE WORK OUTSIDE THE UNITED STATES IF A WAIVER IS GRANTED BY ARPA-E?

ANSWER: Foreign entities are eligible to apply for funding. However, if the project is selected for award negotiations and an award is made, all work must be performed in the United States by subsidiaries or affiliates incorporated in the United States or U.S. territories (unless ARPA-E grants a foreign work waiver to allow performance of part of the work outside of the United States). ARPA-E's grant of a foreign work waiver is a fact dependent, case-by-case determination that is made only in exceptional circumstances and only for discrete parts of an award that necessitate foreign work. Applicants that anticipate needing to request a foreign work waiver to perform some work outside of the U.S. should review Section 4 of the Business Assurances Form.

Q26. DEAR COLLEAGUES, COULD YOU PLEASE CLARIFY WHETHER FOREIGN ORGANIZATIONS CAN PARTICIPATE IN THIS FOA?

ANSWER: Please see Section III.A.3 (Foreign Entities) of the FOA and the answer to Question 25 above.

Q27. DOES THE CONCEPT PAPER 4 PAGE LIMIT ALSO INCLUDE REFERENCES?

ANSWER: Please see Section IV.B (Content and Form of Concept Papers) of the FOA.